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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

0400  
PATENT #3

Perlich et al.

Group Art Unit: To be assigned

COPY OF PAPERS  
ORIGINALLY FILED

Serial No.: 09/996,135

Examiner: To be assigned

Filed: November 28, 2001

Docket No.: 271602-1010

For: METHODS, APPARATUS, AND COMPOSITIONS FOR CONTROLLING ORGANISMS IN BALLAST WATER

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

This information disclosure statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, and specifically:

- ☒ under 37 CFR 1.97(b), or  
(within Three months of filing national application; or date of entry of international application; or before  
mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement Under 37 C.F.R. 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before the final office action or notice of allowance, whichever  
occurs first)
- ☐ under 37 CFR 1.97(d) together with a:  
☐ Statement under 37 CFR 1.97(e), and  
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).  
(Filed after final office action or notice of allowance, whichever occurs first, but before payment of the  
issue fee)

Enclosed is a check in the amount of \$\_\_\_\_\_. Please charge \$\_\_\_\_\_ to deposit account \_\_\_\_\_. At any time during the  
pendency of this application, please charge any fees required to Deposit Account 20-0778 pursuant to 37 CFR 1.25. The  
Commissioner is hereby requested to credit any overpayment to Deposit Account No. 20-0778.

- ☒ Applicant(s) submit herewith *Form PTO 1449 - Information Disclosure Citation* together with copies of  
patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may or may not  
be material to the examination of this application and for which there may be a duty to disclose in accordance with 37  
CFR 1.56. As required by 37 C.F.R. §1.98(a), a legible copy of each document is provided.
- ☐ A concise explanation of the relevance of foreign language patents, foreign language publications and  
other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in  
37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent  
is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English  
language version of the search report or action which indicates the degree of relevance found by the foreign office is listed  
on the form PTO 1449 and is enclosed herewith.

The following rights are reserved by the Applicant(s): the right to establish the patentability of the claimed invention  
over any of the listed documents should they be applied as reference, and/or the right to prove that some of these documents  
may not be prior art, and/or the right to prove that some of these documents may not be enabling for the teachings they purport  
to offer.

This statement should not be construed as a representation that an exhaustive search has been made, or that information more material to the examination of the present application does not exist. The Examiner is specifically requested not to rely solely on the materials submitted herewith. The Examiner is requested to conduct an independent and thorough review of the documents, and to form independent opinions as to their significance.

It is requested that the information disclosed herein be made of record in this application and that the Examiner initial and return a copy of the enclosed PTO-1449 to indicate the documents have been considered.

Respectfully Submitted,

THOMAS, KAYDEN, HORSTEMEYER  
& RISLEY, L.L.P.

By:

  
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**CERTIFIED MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as "First Class Mail," in an envelope addressed to: Assistant Commissioner of Patents and Trademarks, Washington, D.C.  
20231 on March 5, 2002.

  
Signature/Jo Bryan

Form PTO-1449

Attorney Docket No.  
271602-1010Serial No.  
09/996,135Applicant  
Perlich, et al.Filing Date  
November 28, 2001Group  
To be assigned

## INFORMATION DISCLOSURE CITATION

MAR 13 2002

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

| Examiner<br>Initials | Item | Document<br>Number | Date     | Name   | Class | Subclass | Filing Date<br>If Appropriate |
|----------------------|------|--------------------|----------|--------|-------|----------|-------------------------------|
|                      | A    | 6,306,281          | 10/23/01 | Kelley | 205   | 556      | 11/30/99                      |
|                      |      |                    |          |        |       |          |                               |
|                      |      |                    |          |        |       |          |                               |
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## FOREIGN PATENT DOCUMENTS

|  |  | Document<br>Number | Date | Country | Class | Subclass | Translation |    |
|--|--|--------------------|------|---------|-------|----------|-------------|----|
|  |  |                    |      |         |       |          | Yes         | No |
|  |  |                    |      |         |       |          |             |    |
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|  |  |                    |      |         |       |          |             |    |
|  |  |                    |      |         |       |          |             |    |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

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\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

EXAMINER'S SIGNATURE:

DATE CONSIDERED: